



NY

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Pramod K. Srivastava☒ Application No.: 09/873,403

Group Art Unit: Not yet assigned

☒ Filed: June 4, 2001

Examiner: Not yet assigned

For: COMPLEXES OF ALPHA (2) MACROGLOBULIN  
AND ANTIGENIC MOLECULES FOR  
IMMUNOTHERAPY

Attorney Docket No.: 8449-178-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 CFR 1.27(a)(3)] - Nonprofit OrganizationAssistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit  
organization identified below:Name of organization University of Connecticut Health CenterAddress of organization 263 Farmington AvenueFarmington, Connecticut 06030

Type of organization

- ☒ University or other institution of higher education  
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))  
☐ Nonprofit scientific or educational under statute of state of the United States of  
America

(Name of state \_\_\_\_\_)

(Citation of statute \_\_\_\_\_)

- ☐ Would qualify as tax exempt under Internal Revenue Service Code (26 USC  
501(a) and 501(c)(3)) if located in the United States of America.  
☐ Would qualify as nonprofit scientific or educational under statute of state of the  
United States of America if located in the United States of America

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit  
organization as defined in 37 CFR 1.27(a)(3) for purposes of paying reduced fees under  
section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled  
**COMPLEXES OF ALPHA (2) MACROGLOBULIN AND ANTIGENIC MOLECULES FOR  
IMMUNOTHERAPY** by inventor **Pramod K. Srivastava** described in

☒ Application no. 09/873,403, filed June 4, 2001

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.27(a)(1) or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2) or a nonprofit organization under 37 CFR 1.27(a)(3).

FULL NAME Antigenics, LLC  
 ADDRESS 630 Fifth Avenue, Suite 2100  
New York, NY 10111  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

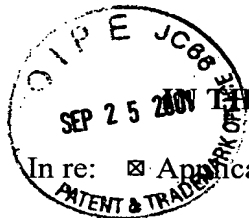
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.27 (g)(2)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: PENNIE & EDMONDS LLP Direct Telephone calls to:  
 1155 Avenue of the Americas PENNIE & EDMONDS LLP  
 New York, N.Y. 10036-2711 (212) 790-9090

Name of person signing Michael F. Newborg  
 Title of person other than owner Executive Dir., Center for Sci & Tech. Comm.  
 Address of person signing University of Connecticut Health Center  
263 Farmington Avenue  
Farmington, Connecticut 06030

Signature Michael F. Newborg Date 9/24/01



## THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Pramod K. Srivastava☒ Application No.: 09/873,403

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IMMUNOTHERAPY

Attorney Docket No.: 8449-178-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 C.F.R. § 1.27(a)(2)] - Small Business ConcernAssistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act in behalf of  
the concern identified below:

Name of organization Antigenics, LLCAddress of organization 630 Fifth Avenue, Suite 2100  
New York, NY 10111

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 C.F.R. § 1.27(a)(2), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the person employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern and/or there is an obligation under contract or law by the inventor(s) to convey rights to the small business concern with regard to the invention entitled **COMPLEXES OF ALPHA (2) MACROGLOBULIN AND ANTIGENIC MOLECULES FOR IMMUNOTHERAPY** by inventor **Pramod K. Srivastava** described in

☒ Application no. 09/873,403 filed June 4, 2001

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.27(a)(2), or a nonprofit organization under 37 C.F.R. § 1.27(a)(3).

FULL NAME University of Connecticut Health Center  
 ADDRESS 263 Farmington Avenue  
Farmington, Connecticut 06030

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

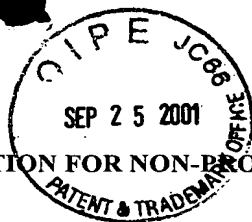
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 C.F.R. § 1.27(g)(2)]

I acknowledge that (1) any attempt to fraudulently (a) establish status as a small entity or (b) pays fees as a small entity or (2) improperly and with intent to deceive (a) establishing status as a small entity or (b) paying fees as a small entity shall be considered as a fraud practiced or attempted on the Patent and Trademark Office. [37 C.F.R. § 1.27(h)(1) and (2)]

Send correspondence to: PENNIE & EDMONDS LLP Direct Telephone calls to:  
 1155 Avenue of the Americas PENNIE & EDMONDS LLP  
 New York, N.Y. 10036-2711 (212) 790-9090

Name of person signing Garo H. Armen  
 Title of person other than owner Chief Executive Officer  
 Address of person signing Antigenics, LLC  
630 Fifth Avenue, Suite 2100  
New York, NY 10111

Signature  Date 9/14/01



## DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION\*

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. beneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

## COMPLEXES OF ALPHA (2) MACROGLOBULIN AND ANTIGENIC MOLECULES FOR IMMUNOTHERAPY

and for which a patent application:

- ☐ is attached hereto and includes amendment(s) filed on (if applicable)  
☒ was filed in the United States on June 4, 2001 as Application No. 09/873,403 (for declaration not accompanying application)  
 with amendment(s) filed on (if applicable)  
☐ was filed as PCT international Application No. on and was amended under PCT Article 19 on (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.


PROVISIONAL APPLICATION NUMBER	FILING DATE
60/209,266	June 2, 2000

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED
09/625,139	July 25, 2000		X	

\* for use only when the application is assigned to a company, partnership or other organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

2 0 1	FULL NAME OF INVENTOR	LAST NAME Srivastava	FIRST NAME Pramod	MIDDLE NAME K.	
	RESIDENCE & CITIZENSHIP	CITY Avon	STATE OR FOREIGN COUNTRY Connecticut	COUNTRY OF CITIZENSHIP India	
	POST OFFICE ADDRESS	STREET 70 Pheasant Run	CITY Avon	STATE OR COUNTRY Connecticut	ZIP CODE 06001
	SIGNATURE OF INVENTOR 201 			DATE 9/24/01	



Express Mail No.: EL 501 641 738 US

POWER OF ATTORNEY  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod. K. Srivastava

Application No.: 09/873,403

Group Art Unit: Not yet assigned

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Examiner: Not yet assigned

For: COMPLEXES OF ALPHA (2)  
MACROGLOBULIN AND ANTIGENIC  
MOLECULES FOR IMMUNOTHERAPY

Attorney Docket No.: 8449-178-999

**POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints: S. Leslie Misrock (Reg. No. 18872), Berj A. Terzian (Reg. No. 20060), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), ~~Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), James N. Palik (Reg. No. 25510), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Allan A. Fanucci (Reg. No. 30256), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Samuel B. Abrams (Reg. No. 30605), Steven I. Wallach (Reg. No. 35402), Marcia H. Sundeen (Reg. No. 30893), Paul J. Zegger (Reg. No. 33821), Edmond R. Bannon (Reg. No. 32110), Bruce J. Barker (Reg. No. 33291), Adriane M. Antler (Reg. No. 32605), Thomas G. Rowan (Reg. No. 34419), James G. Markey (Reg. No. 31636), Thomas D. Kohler (Reg. No. 32797), Scott D. Stimpson (Reg. No. 33607), Gary S. Williams (Reg. No. 31066),~~

POWER OF ATTORNEY

Ann L. Gisolfi (Reg. No. 31956), Todd A. Wagner (Reg. No. 35399), Scott B. Familant (Reg. No. 35514), Kelly D. Talcott (Reg. No. 39582), Francis D. Cerrito (Reg. No. 38100), Anthony M. Insogna (Reg. No. 35203), Brian M. Rothery (Reg. No. 35340), Brian D. Siff (Reg. No. 35679), Alan Tenenbaum (Reg. No. 34939), Michael J. Lyons (Reg. No. 37,386), Garland T. Stephens (Reg. No. 37,242) and William J. Sipio (Reg. No. 34,514), all of Pennie & Edmonds LLP, whose addresses are 1155 Avenue of the Americas, New York, New York 10036, 1667 K Street N.W., Washington, DC 20006 and 3300 Hillview Avenue, Palo Alto, CA 94304, all of Pennie & Edmonds LLP (PTO Customer No. 20583), as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71, provided that, if any one of these attorneys ceases being affiliated with the law firm of Pennie & Edmonds LLP as partner, counsel, or employee, then the appointment of that attorney and all powers derived therefrom shall terminate on the date such attorney ceases being so affiliated.

An assignment of the entire interest in the above-identified subject application:

[ ] was recorded on \_\_\_\_\_ at reel/frame \_\_\_\_/\_\_\_\_.

[x] is submitted herewith for recording.

Please direct all correspondence for this application to customer no. 20583.

ASSIGNEE: University of Connecticut Health Center

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Position/Title: \_\_\_\_\_

Address: \_\_\_\_\_

263 Farmington Avenue

Farmington, Connecticut 06030-5355

Date: \_\_\_\_\_

9/24/01